

CITY OF GAITHERSBURG

PERFORMANCE EVALUATION GUIDELINES AND INSTRUCTIONS FOR SUPERVISORS

Overall Purpose

Performance evaluation is a process for communicating to employees what management expects from them, what they are doing well, and how they can improve. These guidelines and the evaluation forms are a model designed to help you with this process.

Key Elements

- ♦ Formal evaluations must be completed for all full-time employees at least annually by the date set forth by the Human Resources Department.
- ♦ Formal evaluations must also be completed for all full-time employees at a minimum of six months after the date of hire and at the end of the probation period, a minimum of six months after a promotion, and when immediate performance improvement is required.
- ♦ Review comments must be job-related and factual.
- ♦ The evaluation should consider performance over the entire review period.
- ♦ Annual written performance evaluations must be completed prior to processing salary increases.

Preparing for the Next Review

At the Beginning of the Review Period:

- ♦ With the employee's input, identify the employee's primary ongoing (day-to-day) job duties/responsibilities and document on the employee's work plan:
 - Duties/responsibilities should be consistent with the employee's job description; review the job description for accuracy.
 - Ongoing (day-to-day) duties should include measurable or observable criteria.
- ♦ With the employee's input, determine goals/objectives for the coming review period and document on the employee's work plan:
 - Include specific special projects/assignments which should be continued or completed in the next review period.
 - Special projects/assignments and goals/objectives must have expected completion dates.
 - Include training and development goals.
- ♦ Meet with the employee to:
 - Review the work plan and discuss expected performance for the coming review period.
 - Explain criteria to be used in evaluation at end of review period.
 - Explain how the overall rating is determined.
 - Give employee a copy of the work plan and the evaluation form.

During the Review Period:

- ♦ Make note of ongoing employee performance:
 - Include issues, errors, compliments, achievements, significant events.
 - These should be items that were discussed with the employee when they occurred.
- ♦ Update the work plan if there are changes in objectives, projects or day-to-day duties:
 - Share the revised work plan with the employee in writing.
 - Note the date of changes.
 - Provide Human Resources with a copy of the revised work plan.

Completing the Current Review

- ♦ The performance evaluation process should be completed prior to the end of the review period as set forth in the Performance Evaluation Policy:
 - Allow yourself ample time to prepare and conduct the evaluation correctly.
 - Do not wait until the review period has ended to begin the evaluation process.
 - Allow ample time to secure all signatures (next level supervisor and department head) prior to meeting with the employee.
 - Schedule a date/time for the evaluation meeting with the employee. This evaluation should be held in a private setting free from interruption.
 - The employee is required to complete the self-evaluation form in order to contribute to the evaluation process and return it to you at least a week prior to the scheduled evaluation.
- ♦ Review the employee's self-evaluation:
 - Incorporate relevant input into your evaluation.
 - Incorporate relevant input into evaluating the employee's work plan.
 - If your evaluation differs from the employee's self-evaluation, address those differences in your written comments on the evaluation form and be prepared to discuss the differences between your assessment and the employee's self-evaluation with the employee.
- ♦ Evaluate items included on the employee's work plan:
 - For day-to-day job responsibilities, evaluate the employee's performance based on the measurable or observable criteria indicated using the standard rating performance levels (see below).
 - For special projects/assignments and goals/objectives, document progress achieved and rate employee's progress using the standard rating performance levels (see below).
 - If a rating of "Not Successful" is given for any of the items on the work plan, the Supervisor and the Employee must complete a Performance Improvement Plan to address the performance which needs improvement. *(For more information, see section titled "Performance Improvement Plan.")*

RATING PERFORMANCE LEVELS

S	SUCCESSFUL	An employee who receives this rating consistently meets or exceeds requirements and expectations of the position. The employee generally performs in a satisfactory manner and requires little if any correction.
N	NOT SUCCESSFUL (Needs Improvement)	An employee who receives this rating fails to meet requirements and expectations of the position. The employee's work performance is inconsistent or unacceptable and requires immediate development and/or improvement. A Performance Improvement Plan must be developed and employee's progress must be monitored accordingly. If improvement is not forthcoming, corrective action must be taken.

- ♦ Complete the Employee Evaluation Form:
 - Complete the information at the top of the form and indicate the reason for the evaluation (annual, probationary, promotion, improvement, other).
 - Evaluate the employee's overall progress/performance on work plan items and the employee's general work habits and performance factors using the standard rating performance levels (see above).
 - If the employee evaluates/supervises other employees, evaluate the employee's supervisory performance factors using the standard rating performance levels (see above).
 - If you wish to evaluate an employee on a work habit or performance factor not listed, add and evaluate the item in the "Other" section.
 - If a rating of "Not Successful" is given in any category, the Supervisor and the Employee must complete a Performance Improvement Plan to address the performance or behavior which needs improvement. *(For more information, see section titled "Performance Improvement Plan.")*
 - List any areas of exceptional performance under the "Recognition of Exceptional Performance" section. Specific examples must be given.
 - Include any additional comments and complete the "Supervisor Recommendation" portion of the form.
 - Sign and date the evaluation form.

- ♦ Obtain Appropriate Reviews and Approvals:
 - Forward the evaluation form, work plan and any other supporting documentation to the secondary supervisor (if applicable) and/or the department head for review and approval prior to meeting with the employee to discuss the evaluation.
 - Allow ample time for the evaluation to be reviewed, approved and returned in time for the evaluation meeting with the employee.
- ♦ Meet with the employee for the performance evaluation:
 - Arrange the meeting in advance.
 - Review "Suggestions for Conducting the Performance Evaluation Meeting" prior to the meeting
 - Talk through each section of the evaluation.
 - Give and receive feedback on facts, comments, conclusions, and suggestions.
 - Recognize areas of strength and areas of potential growth.
 - Promote understanding and acceptance of the evaluation from both parties.
 - Work with employee to develop Performance Improvement Plan (if needed). (*For more information, see section titled "Performance Improvement Plan."*)
 - Set up follow-up evaluation dates, if necessary.
- ♦ At the close of the performance evaluation meeting:
 - Provide the employee the opportunity to comment on the evaluation form.
 - Have the employee acknowledge receipt of the Evaluation Form by signing and dating it. The employee's signature indicates that the performance evaluation took place and that the employee understands what was communicated. The employee's signature does not indicate that the employee agrees with the assessment.
 - If the employee declines to sign the form, he/she should be encouraged to discuss any concerns. If, after such discussion, the employee still declines to sign the evaluation, the supervisor should note "employee declined to sign" on the form and add his/her initials and the date. The supervisor should notify the secondary supervisor (if applicable) and the department head when an employee declines to sign the performance evaluation form.
 - Give the employee a copy of the Work Plan, Evaluation Form and Performance Improvement Plan (if applicable).
 - If the employee feels his/her performance evaluation is not a true reflection of his/her work performance and is unable to resolve concerns at the time of discussion, those concerns may be addressed by following the guidelines set forth in the City Personnel Ordinance.
 - Complete a new work plan for the next review period (or set a separate meeting for this purpose within a week of conducting the performance evaluation). Follow steps outlined in At the Beginning of the Review Period above.
 - Encourage employee to complete Supervisor Feedback Form (provide copy or advise employee to use on-line form) and return it to Human Resources; assure the employee that his/her responses are confidential and that the compiled information you receive from the forms will help you grow and improve as a supervisor. Remind the employee that he/she may complete a Supervisor Feedback Form for you (as his/her immediate supervisor) and for any in-line supervisors up to and including the City Manager.
 - Obtain secondary supervisory and department head signatures on the Performance Improvement Plan (if applicable).
 - Keep a copy of all forms for your records.
 - Forward all original forms and supporting documents to the Human Resources Department.

Preparing the Performance Improvement Plan

A Performance Improvement Plan is the mutually agreed upon course of action between the employee and his/her supervisor to improve performance or behavior in a dimension that was rated as "Not Successful" in an employee evaluation or on the employee's Work Plan.

- ♦ The Performance Improvement Plan developed by the supervisor and employee should include:
 - A list of specific performance criteria not met; examples should be given.
 - Positive goals, expectations and outcomes that will constitute improved performance.

- Training, development, suggestions, and/or direction offered by the supervisor and/or requested by the employee designed to strengthen the employee's performance.
 - A specified time frame in which improvement is expected.
 - Specific dates for follow-up performance evaluation.
- ♦ Complete the Performance Improvement Plan Follow-Up Form:
 - Indicate progress employee has made in achieving the required improvement.
 - Indicate next actions to be taken.
 - If further follow-up is required, establish timeline for the follow-up reviews.
 - Have the secondary supervisor (if applicable) and department head review and approve the Follow-Up form prior to meeting with the employee.
- ♦ Meet with the Employee for Performance Improvement Follow-Up:
 - Arrange the meeting in advance.
 - Talk through each section of the Follow-Up.
 - Have the employee acknowledge receipt of the Follow-Up Form by signing it.
 - Give the employee a copy of the Follow-Up Form.
 - Set up additional follow-up evaluation dates, if necessary.
 - Keep a copy of the Follow-Up Form for your records and forward the original to Human Resources.
- ♦ Complete a new Performance Improvement Follow-Up Form for each follow-up meeting until improvement has been achieved or other action has been taken:
 - Follow steps as indicated above.